Approval Process for NIOSH Mining Presentations and Publications

The reputation and impact of the NIOSH Mining Program is largely determined by the timeliness, accuracy, and quality of the presentations and publications it produces and the venues in which these products are received. The purpose of this approval process is to ensure that NIOSH Mining publications and presentations contain accurate data, are of high quality and are presented and/or published in appropriate venues.

Obtaining Approval to Prepare

Authors must obtain permission to prepare any publication before work is initiated or an abstract submitted to any venue. To request permission to prepare, the author completes an electronic "Approval to Prepare" form. The author electronically forwards the form to his/her office automation assistant. The office automation assistant enters the request in the Research and Administrative database. The office automation assistant enters the database record number on the Approval to Prepare form and electronically forwards it to the section chief. The section chief approves the request and electronically forwards it to the program operations assistant (POA)/secretary. The POA/secretary electronically forwards the request to the branch chief. The branch chief approves the request and forwards it to Cindy Driscoll (PRL) or Nadine Hawley (SRL) and the POA/secretary. Once the OD approval is received, the author can submit an abstract to the conference or publisher for consideration, or begin writing the manuscript.

Non-Peer Reviewed Journal Articles, Conference Papers, RI's, and IC's

1. **Obtain approval to prepare** (as previously described).
2. **Author(s) writes the manuscript.**
3. **Author, in consultation with the Section Chief determines the number and type of reviewers.** At the very minimum, there must be one internal reviewer (PRL or SRL) and two external reviewers (external to PRL/SRL). If there might be an impact on current or proposed MSHA regulations, at least one reviewer must be from MSHA. In addition, appropriate NIOSH reviewers should be included if there is a possible impact on other NIOSH research projects within and outside PRL/SRL.
4. **The Section Chief shall review the paper to ensure that it is written clearly, and contains no technical errors.**
5. **The Branch/Activity Chief reviews the manuscript for agency policy issues and the appropriateness of the proposed reviewers.**
6. **Manuscript is sent out for review** using NIOSH Manuscript Review Form.
7. **Author reconciles reviewer comments** and writes letters to reviewers addressing their comments and thanking them for their input. The author prepares the *Final Manuscript Package* (Publication/Presentation Clearance Form CDC 0.576, the manuscript as sent for review, the review form(s) with comments, author replies to reviewer comments, and the final manuscript) and submits the package to the Section Chief for approval.
8. **The Section Chief reviews the *Final Manuscript Package* to ensure that all reviewer comments have been addressed.**
9. **The Branch/Activity Chief reviews the *Final Manuscript Package***, and forwards it to the Lab Director or designee for approval.
10. Upon Lab Director's approval, **the Author submits the manuscript** to the conference or non-peer reviewed journal for publication, or for IC's and RI's to Production and Distribution along with an account number for printing.
11. It is the responsibility of the principal author to obtain a copy of the final published version of his/her paper and forward it to the PRL/SRL Technical Editor and Lab Director along with the title page of the journal or proceedings, page numbers, and other necessary bibliographic information. A copy of the paper should also be forwarded to the Production and Distribution Center for conversion into pdf format and inclusion in NIOSHTIC-2. This procedure also applies to papers and articles published electronically or available on CD-ROM.

Peer-Reviewed Journal Article

1. **Obtain approval to prepare** (as previously described).
2. **Author(s) writes the manuscript.**
3. **Author prepares the *Manuscript for Approval Package*** (Publication/Presentation Clearance Form CDC 0.576 and the manuscript).
4. **The Section Chief determines if reviewers are needed**, and if so, identifies them. It is important to determine if reviews are needed at this stage of the approval process to avoid delay if reviews are determined to be needed at the Lab Director review step. Examples where reviews may be needed include: If the content is expected to have an impact on current or proposed MSHA regulations, MSHA must review the manuscript. In addition, appropriate NIOSH reviewers should be included if there is a possible impact on other NIOSH research projects within and outside of PRL/SRL. If the content contains a mathematical or statistical analysis, appropriate reviewers should be included.
5. **The Section Chief shall review the paper to assure that it is written clearly and contains no technical errors.**
6. **The Branch/Activity Chief reviews the manuscript for agency policy issues and appropriateness of reviewers**, if any. [If reviews are needed, the manuscript is sent for review. Reviews are returned to the author, who reconciles reviewer comments and writes letters to reviewers addressing their comments and thanking them for their input. The Section Chief reviews the revised manuscript, the review form(s) with comments, and author replies to reviewer comments, and ensures that all reviewer comments have been addressed. The Section Chief submits the package to the Branch/Activity Chief for approval]
7. **The Branch/Activity Chief forwards the manuscript** [if manuscript was sent for review, review form(s) with comments and Author replies to reviewer comments are included] **to the Lab Director or designee for approval.** Lab Director may send manuscript for review if it was not done in step 4 when needed, or if reviews are inadequate.
8. Upon obtaining the Lab Director's approval, **the Author submits the manuscript to the Journal**.
9. Journal reviews are returned to the Author, who reconciles reviewer comments.
10. **The Section Chief reviews changes made to the manuscript.**
11. **The Branch/Activity Chief reviews changes made to the manuscript.**
12. **Author submits the manuscript to the journal for publication.**
13. It is the responsibility of the principal author to obtain a copy of the final published version of his/her paper and forward it to the PRL/SRL Technical Editor and Lab Director along with the title page of the journal or proceedings, page numbers, and other necessary bibliographic information. A copy of the paper should also be forwarded to the Production and Distribution Center for conversion into pdf format and inclusion in NIOSHTIC-2. This procedure also applies to papers and articles published electronically or available on CD-ROM.

Technology News

1. **Obtain approval to prepare** (as previously described).
2. **Author writes the Technology News**.
3. **Author prepares the Technology News package** (Publication/Presentation Clearance form CDC 0.576, the manuscript, original figures, and an electronic version). An account number must be included for printing charges.
4. **The Section Chief shall review the Technology News to ensure that it is written clearly, and contains no technical errors.** The Section Chief determines if the content is expected to have an impact on MSHA, if so, MSHA reviewer(s) are identified. In addition, appropriate NIOSH reviewers should be included if there is a possible impact on other NIOSH research projects within and outside of PRL/SRL.
5. **The Branch/Activity Chief reviews the Technology News for agency policy issues and appropriateness of MSHA and NIOSH reviewers**, if any. [If reviews are needed, the manuscript is sent for review upon approval by the Branch/Activity Chief. Reviews are returned to the author, who reconciles reviewer comments and writes letters to reviewers addressing their comments and thanking them for their input. The Section Chief verifies that all reviewer comments have been addressed.]
6. **The Branch/Activity Chief forwards the Technology News to the Lab Director** or designee for approval.
7. Upon obtaining the Lab Director's approval, **Technology News is forwarded to Production and Distribution.**

Note: At some point prior to printing, the Tech News must undergo editorial review. After printing, the Technology News is distributed according to a master mailing list maintained in Pittsburgh.

Previously Approved Manuscript for Publication

1. **Author discusses intentions to publish with the Section Chief**, and submits a request for publication to the Section Chief via e-mail "Approval to Prepare" form. Author provides the Section Chief with a copy of the previously approved paper, its signed approval form, where the paper was previously presented and/or published, and a copy of the proposed paper and information about where it is to be published. **The Section Chief shall review the manuscript to ensure that it is written clearly, contains no technical errors, contains no new information, and to determine the appropriateness of it being republished** (see note below).
2. **The Branch/Activity Chief reviews the package** (proposed paper, information about where the proposed paper is to be published, the previously approved paper with its signed approval form and where the paper was previously presented and/or published).
3. **The request is then transmitted via e-mail to the Lab Director** or designee for approval.
4. Upon Lab Director's approval, **the Author can then commit to the publication** and it can be forwarded in the designated format to the conference or journal.
5. For previously approved manuscripts for publication, it is the responsibility of the principal author to obtain a copy of the final published version of his/her paper and forward it to the PRL/SRL Technical Editor along with the title page of the journal or proceedings, page numbers, and other necessary bibliographic information. This procedure also applies to papers published electronically or available on CD-ROM.

Note: Manuscripts previously published in refereed (peer-reviewed) journals should **NOT** be published a second time. If a manuscript has been previously approved for publication in a non-refereed journal or conference proceedings, it can be presented or published again in any forum following approval. However, only minor revisions can be made to the original manuscript. If a paper was previously approved for presentation **ONLY**, and the author plans to publish it, the paper must be treated as a new manuscript and follow the appropriate review procedures for a new manuscript.

Other Publications

There are other types of publications that are rarely used by PRL/SRL. These include Internal Reports, Criteria Documents, and Mining Health and Safety Updates. Contact the POA/secretary for more information as these needs arise.

Power Point Presentations

Background: Power Point (PP) has become the standard media for public presentation of the NIOSH Mining Program's research results. Presentations are easy to create and easier to distribute. PRL/SRL personnel often receive requests for copies of their presentations, which of course, can be easily e-mailed anywhere in the world and can be distributed by others. There are risks in sharing these presentations. One such risk is that portions of a given slide or presentation could be taken out of context or modified by others to change conclusions. Another risk is that when certain items, such as Excel charts, are imported into a PP slide, the entire underlying spreadsheet which may contain data not intended for release, is included in the PP presentation.

CDC has issued guidance concerning the availability of presentations that are attached in Appendix A. One of the most significant items in these guidelines is the warning that "CDC employees need to be aware that their materials are accessible to the public once they are presented in an open meeting in accordance with CDC Media Relations Guidelines and the Freedom of Information Act." This makes giving a presentation equal to publishing a paper in many ways. That is, the information is readily available and accessible by all, just like a publication in a trade journal. In the past, presentations, while important, were treated more as temporary media not having the permanence of a publication. This has now changed and presentations have a new permanence.

This approval process and guidelines serve to ensure that presentations are of high quality, contain accurate and reviewed data, that data is protected, and that unintentional consequences that can be associated with PP presentation distribution can be avoided.

Approval Process Steps:

1. The researcher discusses intent to present with their section chief. Included in the discussion are topic, location, audience, date, and costs. If the section chief agrees that the presentation is appropriate given the stage (progress) of the research, the audience, and that the project has funds, proceed to step 2.

2. **For a conference or formal meeting**, the researcher prepares an electronic "Approval to Prepare/Present" form along with an abstract and sends them through the Section Chief, to the Branch Chief for approval. Upon Branch Chief approval, the electronic "Approval to Prepare/Present" form along with an abstract are sent to the OD for approval. Upon OD approval, the Branch is notified to proceed with the presentation. The OD will let the Branch know at that time if they would like to see a dry-run of the presentation after it is prepared.

   For informal meetings (any meeting that includes non-PRL/SRL attendees), the Section Chief discusses the proposed presentation with the Branch Chief. If the subject matter is sensitive, or if data has not had peer-review, or if significant costs are involved, the Branch Chief discusses the proposed presentation with the OD. If the OD agrees with the presentation, the Branch is notified to proceed. The OD will let the Branch know at that time if they would like to see a dry-run of the presentation after it is prepared.

3. The researcher prepares the power point presentation.

4. The section chief shall review the presentation for technical accuracy, clarity and compliance with the following PP presentation guidelines, and verify that it doesn't contain any unreviewed or unapproved data or findings.

Guidelines Include:

- To prevent someone from easily modifying data (charts and tables) and to insure that hidden spreadsheets are not contained in a PP presentation, such data slides should contain only "objects", rather than charts or text. One technique to achieve this is to cut each chart, text box or graphic and "paste special" as a "picture". A second technique is to save the presentation in .jpg format. This creates a directory with a .jpg image for each slide in the presentation. Then open a new presentation and insert each .jpg image on a blank slide, creating a new presentation where each slide is an object that can't be modified and has no links to other data.
- The title slide should contain the NIOSH and CDC logos for presentations. The NIOSH and CDC logos should be contained in all slides that are distributed.
- The title slide would cite the published information and/or the forum where presented and a list of all co-investigators.
- CDC guidance – See Appendix A

5. The Branch/Activity Chief reviews the presentation for agency policy issues.

6. The OD reviews presentation if a review was requested during the approval process, or if the Branch requests the OD review. OD may also have others review the presentation.

7. Once all approvals have been given, the researcher gives the presentation.

Presentations can only be distributed to non-NIOSH persons as hard copies. Distribution of electronic versions of PP presentations to non-NIOSH personnel is <u>forbidden</u> without approval of the OD.

Appendix A:
ADDITIONAL GUIDANCE - POLICY ON SLIDES PRESENTED AT OPEN MEETINGS

When planning presentations, CDC employees need to be aware that their materials are accessible to the public once they are presented in an open meeting in accordance with CDC Media Relations Guidelines and the Freedom of Information Act.

Specific Considerations:

Presentation slides become public information at the time they are projected. This means that if anyone, including news media*, requests a copy of the slides, they must be made available as soon as possible.

When preparing presentations, it is important to consider the following:

Preliminary data should be identified as preliminary if further analyses are planned.

Personal identifying information should not be divulged unless permission is obtained from the individuals.

Proprietary information should not be used without permission.

Employees assigned to other organizations (e.g., state health departments) should ensure they get their supervisor's permission to present data that belongs to the non-CDC entity.

Information that might compromise any criminal investigation, CDC security or national security should not be projected. Often, it is necessary to clear certain information with other government agencies such as the FBI and the National Security Agency.

If the presenter anticipates seeking a patent of an invention, the patent application should be filed in the Patent and Trademark Office before the presentation is given.

While media access to slides has the potential for compromising the ability to publish the material later in a scientific journal, we are not aware of that happening and most journals will accept articles whose content has been previously presented at a scientific meeting if there have been no formal press releases or media briefings held. Remember the reporter has most likely already heard the oral presentation and taken notes on the slides and is checking for accuracy.

In any event, as federal employees, it is our obligation to disseminate high quality scientific information in a timely way to benefit public health regardless of its consequences for personal benefit.

*In the case of news media, the Division of Media Relations can help negotiate with reporters if there is sensitive information that one does not want to see in the press. However, if the news media insist, the slides must be made available. Therefore, it is best not to project anything that is not ready for the press.

References:

A. CDC Division of Media Relations
B. CDC Freedom of Information Act Policy

For further information contact: Ms. Cathy Spruill at (404) 639-7260 or Dr. Dixie Snider at (404) 639-7240.